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Paper No. 7

MARK S. ELLINGER  
FISH & RICHARDSON P.C., P.A.  
60 SOUTH SIXTH ST./SUITE 3300  
MINNEAPOLIS, MN 55402

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In re Application of  
Lauffer, et al.  
Application No. 09/887,706  
Filed: 8 September, 2000  
Attorney Docket No.:  
13498-009002/MET-7/Continuation

OFFICE OF PETITIONS

DECISION ON PETITION

This is a decision on the petition filed on 6 June, 2002, under 37 C.F.R. §1.53(e)<sup>1</sup> and §1.181<sup>2</sup>  
“To Accord a Filing Date”--notably, however, Petitioners contend that the drawings found to be

<sup>1</sup> The regulations at 37 C.F.R. §1.53 provide in pertinent part:  
§ 1.53 Application number, filing date, and completion of application.

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(e) *Failure to meet filing date requirements.*

(1) If an application deposited under paragraph (b), (c), or (d) of this section does not meet the requirements of such paragraph to be entitled to a filing date, applicant will be so notified, if a correspondence address has been provided, and given a time period within which to correct the filing error.

(2) Any request for review of a notification pursuant to paragraph (e)(1) of this section, or a notification that the original application papers lack a portion of the specification or drawing(s), must be by way of a petition pursuant to this paragraph accompanied by the fee set forth in § 1.17(h). In the absence of a timely (§ 1.181(f)) petition pursuant to this paragraph, the filing date of an application in which the applicant was notified of a filing error pursuant to paragraph (e)(1) of this section will be the date the filing error is corrected.

(3) If an applicant is notified of a filing error pursuant to paragraph (e)(1) of this section, but fails to correct the filing error within the given time period or otherwise timely (§ 1.181(f)) take action pursuant to this paragraph, proceedings in the application will be considered terminated. Where proceedings in an application are terminated pursuant to this paragraph, the application may be disposed of, and any filing fees, less the handling fee set forth in § 1.21(n), will be refunded.

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<sup>2</sup> The regulations at 37 C.F.R. §1.181 provide, in pertinent part:  
§1.181 Petition to the Commissioner.

(a) Petition may be taken to the Commissioner: (1) From any action or requirement of any examiner in the *ex parte* prosecution of an application which is not subject to appeal to the Board of Patent Appeals and Interferences or to the court; (2) In cases in which a statute or the rules specify that the matter is to be determined directly by or reviewed by the Commissioner; and (3) To invoke the supervisory authority of the Commissioner in appropriate circumstances. \*\*\*

(b) Any such petition must contain a statement of the facts involved and the point or points to be reviewed and the action requested. Brief or memoranda, if any, in support thereof should accompany or be embodied in the petition; and where facts are to be proven, the proof in the form of affidavits or declaration (and exhibits, if any) must accompany the petition.

(c) When a petition is taken from an action or requirement of an examiner in the *ex parte* prosecution of an application, it may be required that there have been a proper request for reconsideration (§1.111) and a repeated action by the examiner. The examiner may be directed by the Commissioner to furnish a written statement, within a specified time, setting forth the reasons for his decision upon the matters averred in the petition, supplying a copy thereof to the petitioner.

(d) Where a fee is required for a petition to the Commissioner the appropriate section of this part will so indicate. If any required fee does not accompany the petition, the petition will be dismissed. \*\*\*

(f) Except as otherwise provided in these rules, any such petition not filed within 2 months from the action complained of, may be dismissed as untimely. The mere filing of a petition will not stay the period for reply to an Examiner's action which may be running against an application, nor act as a stay of other proceedings.

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missing from the application “are not necessary for the understanding of the subject matter as sought to be patented.”

For the reasons set forth below, the petition is **GRANTED in part**.<sup>3</sup>

The application was filed on 8 September, 2001.

Following a 4 March, 2002, Decision under 37 C.F.R. §1.10, on 29 March, 2002, the Office mailed a “Notice of Incomplete Nonprovisional Application” indicating that the application was filed without drawings as required under 35 U.S.C. §113 (first sentence). Petitioners respond with the instant petition stating that:

- the drawings found to be missing from the application “are not necessary for the understanding of the subject matter as sought to be patented”; and
- with regard to the absent Figures 1 - 3, Petitioners refer each figure to a comparable table in the specification, with the table and the figure as representing the same information set forth in the specification by the tables at page 58 (for Figure 1), pages 60 and 61 (for Figure 2) and pages 62 and 63 (for Figure 3).

Thus, Petitioners contend, the drawings are not necessary for the understanding of the subject matter as sought to be patented.

It is the practice of the Office to treat an application that contains at least one process or method claim as an application for which a drawing is not necessary for the understanding of the invention under 35 U.S.C. §113 (first sentence). (See: MPEP §601.01<sup>4</sup>)

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<sup>3</sup> Pursuant to Petitioner’s authorization, the petition fee (\$130.00) is refunded to Deposit Account 06-1050.

<sup>4</sup> The commentary at MPEP §601.01 provides in pertinent part:

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**601.01(f) Applications Filed Without Drawings**

35 U.S.C. 111(a)(2)(B) and 35 U.S.C. 111(b)(1)(B) each provide, in part, that an “application shall include . . . a drawing as prescribed by section 113 of this title” and 35 U.S.C. 111(a)(4) and 35 U.S.C. 111(b)(4) each provide, in part, that the “filing date . . . shall be the date on which . . . any required drawing are received in the Patent and Trademark Office.” 35 U.S.C. 113 (first sentence) in turn provides that an “applicant shall furnish a drawing where necessary for the understanding of the subject matter sought to be patented.

Applications filed without drawings are initially inspected to determine whether a drawing is referred to in the specification, and if not, whether a drawing is necessary for the understanding of the invention. 35 U.S.C. 113 (first sentence).

It has been USPTO practice to treat an application that contains at least one process or method claim as an application for which a drawing is not necessary for an understanding of the invention under 35 U.S.C. 113 (first sentence). The same practice has been followed in composition applications.

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A nonprovisional application having at least one claim, or a provisional application having at least some disclosure, directed to the subject matter discussed above for which a drawing is usually not considered essential for a filing date, not describing drawing figures in the specification, and filed without drawings will simply be processed for examination, so long as the application contains something that can be construed as a written description. A nonprovisional application having at least one claim, or a provisional application having at least some disclosure, directed to the subject matter discussed above for which a drawing is usually not considered essential for a filing date, describing drawing figure(s) in the specification, but filed without drawings will be treated as an application filed without all of the drawing figures referred to in the specification as discussed in MPEP § 601.01(g), so long as the application contains something that can be construed as a written description. In a situation in which the appropriate Technology Center (TC) determines that drawings are necessary under 35 U.S.C. 113 (first sentence) the filing date issue will be reconsidered by the

This application contains method claims, e.g., claims 36 - 63. Therefore, the application should have been treated as an application filed without all of the drawing figures referred to in the specification as discussed in MPEP §601.01(g).<sup>5</sup>

It appears that a "Notice of Omitted Items" should have been mailed instead of the "Notice of Incomplete Nonprovisional Application."

Therefore, the 29 March, 2002, "Notice of Incomplete Nonprovisional Application" hereby is vacated.

The application is accorded a filing date of 8 September, 2000.

The petition is granted in part, to the extent that the application will be accorded the filing date of 8 September, 2000, without the drawings containing Figures 1 - 3 as part of the original disclosure of the application.

**The application file is being returned to the Office of Initial Patent Examination for further processing with a corrected filing date of 8 September, 2000, indicating in the Office records that "0" sheets of drawings were present on filing, and the mailing of a corrected filing receipt.**

The Revocation and Power of Attorney filed 20 May, 2002, hereby is acknowledged and accepted.

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USPTO.

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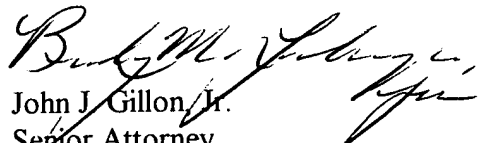
<sup>5</sup> The commentary at MPEP §601.01 provides in pertinent part:  
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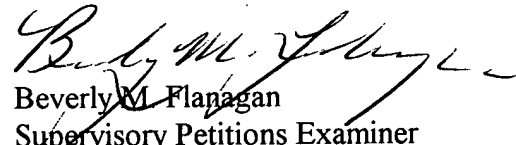
**601.01(g) Applications Filed Without All Figures of Drawings**

The Office of Initial Patent Examination (OIPE) reviews application papers to determine whether all of the figures of the drawings that are mentioned in the specification are present in the application. If the application is filed without all of the drawing figure(s) referred to in the specification, and the application contains something that can be construed as a written description, at least one drawing, if necessary under 35 U.S.C. 113 (first sentence), and, in a nonprovisional application, at least one claim, OIPE will mail a "Notice of Omitted Item(s)" indicating that the application papers so deposited have been accorded a filing date, but are lacking some of the figures of drawings described in the specification. The mailing of a "Notice of Omitted Item(s)" will permit the applicant to either: (1) promptly establish prior receipt in the USPTO of the drawing(s) at issue (generally by way of a date-stamped postcard receipt (MPEP § 503)); or (2) promptly submit the omitted drawing(s) in a nonprovisional application and accept the date of such submission as the application filing date. An applicant asserting that the drawing(s) was in fact deposited in the USPTO with the application papers must, within 2 months from the date of the "Notice of Omitted Item(s)," file a petition under 37 C.F.R. 1.53(e) with the petition fee set forth in 37 C.F.R. 1.17(h), along with evidence of such deposit (37 C.F.R. 1.181(f)). The petition fee will be refunded if it is determined that the drawing(s) was in fact received by the USPTO with the application papers deposited on filing.

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Telephone inquiries concerning this matter may be directed to John J. Gillon, Jr., Senior Attorney, Office of Petitions, at (703)305-9199.

  
John J. Gillon, Jr.  
Senior Attorney  
Office of Petitions  
Office of the Deputy Commissioner  
for Patent Examination Policy

  
Beverly M. Flanagan  
Supervisory Petitions Examiner  
Office of Petitions  
Office of the Deputy Commissioner  
for Patent Examination Policy